Consultant Evaluations

Project Development and Environmental Analysis Branch		Approved: 7/5/11 Version: 1.6

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Purpose
This procedure guides PDEA staff through performing the quarterly evaluations required for consultant firms under current contracts. The reviews provide positive feedback on performance as well as providing an opportunity for constructive criticism in areas that need improving and any necessary steps for corrective action.

Background
Consultant Evaluations are required to be performed on a routine basis for all firms with open contracts with NCDOT. For PDEA Staff this also includes contracts being utilized through other business units such as the Roadway Design Unit. The evaluations are performed quarterly. All reviews are shared with the consultant firm and, when necessary, additional meetings to discuss the review may be requested by the firm.

Responsibility
The PDEA Project Manager (PM) assigned to manage the contract is responsible for performing the evaluation or coordinating with other PDEA staff as needed to complete the evaluation.

Procedures
1. The Consultant Evaluation periods are:
   - January 1 – March 31 (1st Quarter)
   - April 1 – June 30 (2nd Quarter)
   - July 1 – September 30 (3rd Quarter)
   - October 1 – December 31 (4th Quarter)
2. The PDEA Project Manager (PM) will submit evaluations within 15 business days from the end of each quarter for each consultant and project. The evaluations are submitted to the following individuals:
   - Project Development Units and Bridge Project Development Units – Brenda Avant.
   - Human Environment Unit – Demorris Hukins.
   - Natural Environment Unit – Kim Annis.

   Note: Evaluation forms are required to be filled out even when the consultant has performed no work. No Work is defined as when the consultant was totally idle on a project due to circumstances beyond their control or the project is deferred but the contract remains open.

3. The PM will use the Consultant Evaluation Rating Form. The form was developed for all units in the Branch. Open the Excel file and then "Save As" with a different name to your computer.
4. The evaluation form is divided into two parts:
   - The first sheet is a qualitative review of the consultant and should be completed each quarter even if no milestones or deliverables were completed. The six qualities are based on your interaction with the consultant. Ask questions such as:
     - Were they prepared for meetings? Were materials for the meeting of high quality and well organized?
     - Did they return phone calls within a reasonable amount of time?
     - How well are they coordinating with you and other agencies as needed?
     - How well are they doing at recognizing problems and developing solutions?
     - The baseline expectations are defined on Sheet 3 of the form under definitions.
   - The second sheet is a quantitative review of work products submitted during the quarter by the consultant. NEU and HEU receive requests for evaluation input from several sources. Therefore, NEU and HEU should use the following guidelines to know when NEU and HEU staff must fill out the evaluation form and when they can supply input informally via email:
     - If a project is managed by NEU or HEU staff, the PM will fill out the evaluation form.
     - If PDU is managing the project, then input from NEU and HEU can be submitted informally by email to the person that requested the input.
     - If a project is managed by external sources, such as Turnpike Authority or Roadway Design, then NEU and HEU should fill out the evaluation form and submit it to the person requesting the input.
5. The remainder of the evaluation form file contains reference information such as definitions, abbreviations, acronyms, list of consultants under contract with PDEA, and what the ratings mean.
6. A rating scale of 1-10 will be used to evaluate each item. Sheet 3 of the form explains the various ratings.
7. Completing the form:
   - Many of the cells on Sheet 1 & 2 have drop-down menus to assist you in filling out the form. These drop-down menus are accessed by clicking on the cell where you would fill in information. When you click on these cells, an arrow will appear to the right of the cell. Click on the arrow to access the menu.
   - Most of the form is self-explanatory, however some additional guidance is provided below.

   Sheet 1:
   - **Contracting Unit** – If the contract is held by another NCDOT Branch or Unit, type in the appropriate name. Else you can use the drop-down menu.
   - **TIP Project No**. – Enter either the TIP number (or the Purchase Order number for statewide services under a Limited Services contract). The number will automatically transfer to Sheet 2 of the form.
   - **WBS No**. – Enter appropriate number. It will automatically transfer to Sheet 2 of the form.

- **Total Overall Score –** The form is set up to perform all of the necessary calculations to fill in the total score and any other intermediate calculations based on your rating inputs.
- **Category –** Use the definitions on Sheet 3 to perform your evaluation or hold the cursor over the category and a comment window will appear with the definition. The consultant must be rated on all six qualities as long as they are actively working on the project.
- **Comments –** Used to further explain reasons for the various ratings received. Further explanation is required for the following:
    - All ratings of 1,2,3,4 or 5 must have detailed explanations and necessary corrective measures included. This applies to each individual category rating, not just the overall score.
    - All ratings of 10 must have a description of the actions and events that earned the consultant that particular rating.

  Comments are always welcomed for ratings 6, 7, 8 or 9.
  If "no work" was performed during the evaluation period, indicate this in the Comment box.
- Check the box at the bottom of the "Comments" box if all of the work for the contract has been completed and the consultant firm has or will soon be submitting a final invoice. This will let the Administrative Staff know that the project is complete and not to request future evaluations for the project.
- Type in your name and your supervisors name in the spaces indicated.

Sheet 2:

- Complete Sheet 2 only when either a specific milestone(s) has been completed or a specific deliverable(s) have been finalized during the review period. Examples are:
    - Concurrence meeting packets
    - Finalized NEPA documents
    - NRTR
    - Archaeological Report

  Drafts of deliverables that are under review obviously will not be rated.
- The spreadsheet has been set up to accommodate rating multiple items within one review period. You do not have to fill out separate forms for each individual item or milestone that was completed within the review period.
- **Items List** – Choose the milestone or deliverable to be reviewed from the standard list provided. For items that are not listed, use the two boxes labeled **"Other."** They are numbered 32 and 38.
- **Score** – Self-explanatory
- **Subconsultant** - If work was performed by a Subconsultant, indicate it in the box provided then list the name of the firm in the **"Comments"** box at the bottom of the page.
- **Comments** – As on Sheet 1, use this area to provide further explanation for the various ratings received. Use the guidelines provided for Sheet 1 for when comments are mandatory versus voluntary. Also list any Subconsultant firms.
- As on Sheet 1, all of the intermediate and final calculations are performed by the spreadsheet. All rating calculations from Sheet 2 are carried over to Sheet 1 and used automatically in obtaining the overall score.

8. Once you have completed the form, sign and date it in the provided spaces on Sheet 1. The signature can be electronic if desired or a hard copy can be printed out and signed.

9. The PM will review the form with their supervisor before submitting. The supervisor with also initial the form in the space provided. Once the supervisor has initialed the evaluation form, submit the form to the appropriate Administrative Assistant as outlined above.
10. The Administrative Assistants will log the evaluations received and notify PM's when they are late and request the evaluation to be completed within 3 business days.
11. Once all of the evaluations have been submitted the HEU and NEU Administrative Assistants will send all of their evaluations to the PDU Administrative Assistant.
12. The PDU Administrative Assistant will compile a Branch database, make a copy of all evaluations, batch by firm, and send the copies to each Consultant Firm's Office Manager and Project Manager and the Professional Services Management Unit Manager (Scott Blevins). The originals will be placed in the appropriate Contract Management files.
13. The consultant firm's Office Manager will sign each evaluation as an acknowledgement of receipt and return all evaluations to the PDU Administrative Assistant. A firm may request a meeting with the PM and their Supervisor to discuss the merits of a specific rating. Review meetings are not required.

Contacts

- For suggestions to change this procedure contact: Karen Capps, kbcapps@ncdot.gov
- For questions about performing this procedure contact: Brenda Avant, bpavant@ncdot.gov

Record of Revision		
Version #	**Reason for Revision**	**Revision Date**
1.6	Incorporates all previous revisions to the protocols	6/29/11
	Revises and clarifies who receives evaluations	
	Places procedure in new procedure format	
	Revises to reduce number of steps and simplify instructions.	